

10/22/01  
J1129 U.S. PTO

Old S. 896288/60  
10/22/01

# UTILITY PATENT APPLICATION TRANSMITTAL

|                     |  |
|---------------------|--|
| Attorney Docket No. | 2317-107                                       |
| First Inventor      | Charles B. GRISSOM                             |
| Title               | BIOCONJUGATES AND DELIVERY OF BIOACTIVE AGENTS |

☒ Assignee Information: University of Utah Research Foundation  
Salt Lake City, Utah 84108

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
3. ☒ Specification Total pages [ 77 ]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross references to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to sequence listing, a table or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings
  - Detailed Description
  - Claims
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) (Total Sheets) [ 9 ]
5. ☒ Oath or Declaration (Total Pages) [ 6 ]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
**[Note Box 5 below]**
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application.
6. ☐ Application Data Sheet.

ADDRESS TO: Assistant Commissioner of Patents  
Box Patent Application  
Washington, D.C. 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program
8. Nucleotide and/or Amino Acid Sequence Submission
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

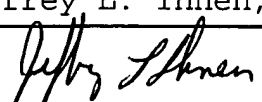
9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement  
(when there is an assignee)
  - ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement /PTO 1449
  - ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s).
16. ☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i).
17. ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below or in an application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/202,328  
Prior application information: Examiner J. Zara Group/Art Unit 1635

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

☒ Customer Number or Bar Code Label 6449

|           |   |           |              |          |                 |
|-----------|---|-----------|--------------|----------|-----------------|
| Address   | Rothwell, Figg, Ernst & Manbeck<br>Suite 701-East, 555 13th Street, N.W.            |           |              |          |                 |
| City      | Washington  | State     | D.C.         | Zip Code | 20004           |
| Country   | U.S.A.  | Telephone | 202-783-6040 | Fax      | 202-783-6031    |
| Name      | Jeffrey L. Ihnen, Reg. No. 28,957   |           |              |          |                 |
| Signature |  |           |              | Date     | 19 OCTOBER 2001 |

|   |             |                        |                    |
|---|-------------|------------------------|--------------------|
| <b>FEE TRANSMITTAL<br/>for FY 2001<br/>(Small Entity)</b> |             | ATTN: BOX APPLN        |                    |
|   |             | Application Number     | (to be assigned)   |
|   |             | Filing Date            | 19 October 2001    |
|   |             | First Named Inventor   | Charles B. GRISSOM |
|   |             | Examiner Name          | J. Zara            |
|   |             | Group Art Unit         | 1635               |
| Total Amount of Payment                                   | (\$ 577.00) | Attorney Docket Number | 2317-107           |

**METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge additional fees and credit any overpayment to Deposit Account Number 02-2135 in the name of Rothwell, Figg, Ernst & Manbeck
- ☒ Charge any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status.
2. ☒ Payment Enclosed:  
☒ Check  
☐ Credit Card

**FEE CALCULATION**
**1. FILING FEE**

| Fee Code | Fee \$ | Fee Description        | Fee Paid |
|----------|--------|------------------------|----------|
| 201      | 370    | Utility filing fee     | [370.00] |
| 206      | 165    | Design Filing Fee      | [ ]      |
| 207      | 255    | Plant Filing Fee       | [ ]      |
| 208      | 370    | Reissue Filing Fee     | [ ]      |
| 214      | 80     | Provisional Filing Fee | [ ]      |

**SUBTOTAL \$ 370**

**2. CLAIMS**

| Total Claims | Independent Claims | Multiple Dependent Claims | Extra Claims | Fee   | Fee Paid |
|--------------|--------------------|---------------------------|--------------|-------|----------|
| [ 43 ]       | - 20** = [ 23 ]    | x                         | \$ 9 =       |       | [207.00] |
|              | [ 1 ]              | - 3** = [ -- ]            | x            | 42 =  | [ ]      |
|              |                    |                           | +            | 140 = | [ ]      |

\*\*or number previously paid, if greater;

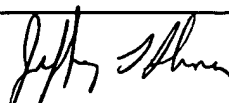
**SUBTOTAL \$ 207**

**FEE CALCULATION (continued)**
**3. ADDITIONAL FEES**

| Fee Code            | Fee Paid | Fee Description  | Fee Paid |
|---------------------|----------|--|----------|
| 205                 | 65       | Surcharge - late filing fee or oath  | [ ]      |
| 227                 | 25       | Surcharge - late provisional filing fee or cover sheet                     | [ ]      |
| 139                 | 130      | Non-English specification  | [ ]      |
| 147                 | 2,520    | For filing a request for reexamination                                     | [ ]      |
| 112                 | 920      | Requesting publication of SIR prior to Examiner action                     | [ ]      |
| 113                 | 1,840*   | Requesting publication of SIR after Examiner action                        | [ ]      |
| 215                 | 55       | Extension for reply within first month                                     | [ ]      |
| 216                 | 200      | Extension for reply within second month                                    | [ ]      |
| 217                 | 460      | Extension for reply within third month                                     | [ ]      |
| 218                 | 720      | Extension for reply within fourth month                                    | [ ]      |
| 228                 | 980      | Extension for reply within fifth month                                     | [ ]      |
| 219                 | 160      | Notice of Appeal   | [ ]      |
| 220                 | 160      | Filing a brief in support of an appeal                                     | [ ]      |
| 221                 | 150      | Request for Oral Hearing   | [ ]      |
| 138                 | 1,510    | Petition to institute a public use proceeding                              | [ ]      |
| 240                 | 55       | Petition to revive -unavoidable  | [ ]      |
| 241                 | 640      | Petition to revive - unintentional   | [ ]      |
| 242                 | 640      | Utility issue fee (or reissue)   | [ ]      |
| 243                 | 230      | Design issue fee   | [ ]      |
| 244                 | 310      | Plant issue fee  | [ ]      |
| 122                 | 130      | Petitions to the Commissioner  | [ ]      |
| 123                 | 50       | Processing fee under 37 CFR 1.17(q)  | [ ]      |
| 126                 | 180      | Submission of Information Disclosure Statement                             | [ ]      |
| 581                 | 40       | Recording each patent assignment per property (times number of properties) | [ ]      |
| 246                 | 370      | Filing a submission after final rejection (37 CFR .129(a))                 | [ ]      |
| 249                 | 370      | For each additional invention to be examined (37 CFR 1.129(b))             | [ ]      |
| 279                 | 370      | Request for Continued Examination (RCE)                                    | [ ]      |
| 169                 | 900      | Request for expedited examination of a design application                  | [ ]      |
| 195                 | 300      | Publication fee for early, voluntary, or normal publication                | [ ]      |
| 196                 | 300      | Publication fee for republication  | [ ]      |
| 089                 | 200      | Filing an application for patent term adjustment                           | [ ]      |
| 090                 | 400      | Request for reinstatement of term reduced                                  | [ ]      |
| Other fee (specify) |          |  | [ ]      |

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL \$**

|                      |   |                          |                 |                      |         |
|----------------------|---|--------------------------|-----------------|----------------------|---------|
| SUBMITTED BY         |   | Complete (if applicable) |                 |                      |         |
| NAME AND REG. NUMBER | Jeffrey L. Ihnen, Reg. No. 28,957   |                          |                 |                      |         |
| SIGNATURE            |  | DATE                     | 19 OCTOBER 2001 | DEPOSIT ACCT USER ID | 02-2135 |